

1 Adopt 2 Cal. Code Regs. section 18755 as follows:

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3 **18755. Statements Of Economic Interest: Person or Persons at an Institution of**  
4 **Higher Education with Principal Responsibility for a Research Project**

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6 (a) Disclosure shall be required under Government Code section 87302 or any  
7 conflict of interest code in connection with a decision made by a person or persons at an  
8 institution of higher education with principal responsibility for a research project to  
9 undertake such research, if it is to be funded or supported, in whole or in part,  
10 (1) through a contract or grant with a nongovernmental entity sponsor, or (2) by a gift  
11 from a nongovernmental entity sponsor which is earmarked by the donor for a specific  
12 principal investigator.

13 (b) *Types of Statements of Economic Interests.*

14 (1) *Initial Statement:* The initial statement must be submitted to the university  
15 filing officer for the statements of economic interests before final acceptance of a  
16 contract, grant, or gift. The statement shall include reportable investments in and  
17 positions with the sponsor as of the date of the offer of funding, and income and gifts  
18 received from the sponsor within the 12 months prior to the date of the offer.

19 (2) *Interim Statements:* A statement must be filed within 30 days after funding is  
20 renewed and shall disclose reportable investments, income and business positions held or  
21 received during the period between the date the initial statement was filed and the date  
22 the funding for the project was renewed.

23 (3) *Final Statements:* The final statement shall be filed within 90 days after the  
24 date either the project was completed or the funding ceased, whichever is later, and shall  
25 disclose reportable investments, income and business positions held or received during  
26 the period between the date the last statement was filed (initial or interim) and the date  
27 the funding for the project ceased or the project was completed, whichever is later.

28 (c) *Content:*

29 (1) *Income*

30 A. The name and address of the sponsor and a general description of the business  
31 activity, if any, of the sponsor;

1        B. A statement whether the aggregate value of income from the sponsor, or in the  
2 case of a loan, the highest amount owed to the sponsor, was at least \$500 but did not  
3 exceed \$1,000, whether it was in excess of \$1,000 but was not greater than \$10,000, or  
4 whether it was greater than \$10,000;

5        C. In the case of a loan, the annual interest rate and the security, if any, given for  
6 the loan.

7        (2) Gifts. In the case of a gift of \$50 or more, a description of and the amount of  
8 the gift; and

9        (3) Investments and Positions with Sponsor

10        When an investment or equity (ownership) interest is required to be disclosed, or  
11 when the principal investigator is a director, officer, partner, trustee, employee, or holds  
12 any position of management, the disclosure statement shall contain:

13        1. A general description of the business activity in which the sponsor is engaged;

14        2. A statement of whether the fair market value of the investment or interest  
15 exceeds \$2,000 but does not exceed \$10,000, whether it exceeds \$10,000, but does not  
16 exceed \$100,000, or whether it exceeds \$100,000; and

17        3. Any position held in the entity by the principal investigator.

18        (d)(1) Disclosure shall not be required under Government Code section 87302 (or  
19 under a Conflict of Interest Code) in connection with a decision made by a principal  
20 investigator to undertake such research, if the nongovernmental entity funding or  
21 supporting the research is one of the following:

22  
23                Alzheimer's Disease & Related Disorders Association  
24                American Academy of Dermatology  
25                American Academy of Pediatrics  
26                American Association for the Advancement of Science  
27                American Association for State & Local History  
28                American Association of Colleges of Pharmacy  
29                American Association of Obstetricians & Gynecologists  
30                American Association of Retired Persons  
31                American Cancer Society  
32                American Chemical Society  
33                American College of Obstetricians & Gynecologists  
34                American College of Radiology  
35                American Committee for the Weizmann Institute of Science

1 American Council of Learned Societies  
2 American Diabetes Association  
3 American Foundation for Pharmaceutical Education  
4 American Fund for Dental Education, Inc.  
5 American Gastroenterologic Association  
6 American Health Assistance Foundation  
7 American Heart Association  
8 American Kidney Fund  
9 American Library Association  
10 American Liver Foundation  
11 American Lung Association  
12 American Lupus Society, The  
13 American Nurses Foundation  
14 American Parkinson Disease Association  
15 American Philological Association  
16 American Philosophical Society  
17 American Red Cross  
18 Amyotrophic Lateral Sclerosis Society of America  
19 Arthritis Foundation  
20 Asthma & Allergy Foundation of America  
21  
22 Bush Foundation, The  
23  
24 California Association for Neurologically Handicapped Children  
25 California Division of the American Cancer Society  
26 California Heart Association  
27 California Lung Association  
28 Cargill Foundation  
29 Carnegie Corporation of New York  
30 Carnegie Foundation for the Advancement of Teaching  
31 Cerebral Palsy Foundation  
32 Chicago Community Trust, The  
33 Childs Memorial Fund, The Jane Coffin  
34 Christian Children's Fund  
35 Clark Foundation, The Edna McConnell  
36 Columbia Foundation  
37 Commonwealth Fund, The  
38 Cooley's Anemia Foundation  
39 Council on Library Resources  
40 Culpeper Foundation, Inc., Charles E.  
41 Cystic Fibrosis Foundation  
42  
43 Deafness Research Foundation, The  
44 Donner Foundation, William H.  
45 Dover Fund, Inc.  
46 Dreyfus Foundation, Inc., The Camille & Henry

Dreyfus Foundation, The Max & Victoria  
Dysautonomia Foundation

Earhart Foundation  
Easter Seal Research Foundation  
Epilepsy Foundation of America  
Eye Research Institute of Retina Foundation

Fight for Sight  
Ford Foundation, The  
Foundation for Child Development  
Fuller Fund, The Anna

German Marshall Fund of the U.S.  
Giannini Foundation  
Grant Foundation, The William T.  
Guggenheim Foundation, H.F.  
Guggenheim Memorial Foundation, John Simon

Haas Fund, The Walter & Elise  
Hartford Foundation, John A.  
Haynes Foundation, The John Randolph & Dora  
Hearst Foundation, William R.  
Hewlett Foundation, The William & Flora

Institute for Educational Affairs  
International Research & Exchanges Board

Japan Foundation  
Johnson Foundation, The Robert Wood  
Juvenile Diabetes Foundation

Kade Foundation, Inc., The Max  
Kaiser Family Foundation, The Henry J.  
Keck Foundation, William M.  
Kellogg Foundation, W.K.  
Klingenstein Fund, The Esther & Joseph  
Knights Templar Eye Foundation  
Kresge Foundation, The  
Kunstadter Family Foundation, The Albert

Leakey Foundation, The L.S.B.  
Leukemia Society  
Levi Strauss Foundation  
Lilly Endowment, Inc.  
Luce Foundation, Inc., The Henry

Lupus Foundation of America

MacArthur Foundation, John D. & Catherine T.

McKnight Foundation, The

March of Dimes

Markle Foundation, The John & Mary R.

Mellon Foundation, The Andrew W.

Mott Foundation, Charles Stewart

Muscular Dystrophy Association

Myasthenia Gravis Foundation

National Academy of Sciences

National Collegiate Athletic Association

National Council of Teachers of English

National Foundation for Ileitis & Colitis

National Foundation for Infectious Diseases

National Fund for Medical Education

National Geographic Society

National Head Injury Foundation

National Hemophilia Foundation

National Kidney Foundation

National Leukemia Association

National Migraine Foundation

National Multiple Sclerosis Society

National Research Council

National Retinitis Pigmentosa Foundation

National Society to Prevent Blindness

National Sudden Infant Death Syndrome Foundation

National Tuberous Sclerosis Association

Northern California Society to Prevent Blindness

Noyes Foundation, Inc., Jessie Smith

Organization for Tropical Studies

Packard Foundation, The David & Lucille

Paralyzed Veterans of America

Pardee Foundation, Elsa U.

Peierls Foundation, Inc., The

Picker Foundation, James

Population Council

Presiding Bishop's Fund for World Relief

Project HOPE

Research Corporation

Research to Prevent Blindness

Resources for the Future, Inc.

1 Retirement Research Foundation  
2 Richardson Foundation, Smith  
3 Rippel Foundation, Fannie E.  
4 Rockefeller Brothers Fund  
5 Rockefeller Foundation  
6 Rosenberg Foundation  
7 Rubin Foundation, Inc., Samuel  
8 Runyon-Walter Winchell Cancer Fund, Damon  
9

10 Sage Foundation, Russell  
11 San Francisco Foundation  
12 Scaife Foundation, Inc., Sara  
13 Schiff Foundation  
14 Scottish Rite Schizophrenia Research Program  
15 Sherman Foundation, Nate H.  
16 Skaggs Foundation, L.J. & Mary C.  
17 Skin Cancer Foundation  
18 Sloan Foundation, Alfred P.  
19 Social Science Research Council  
20 Spencer Foundation, The  
21

22 Teagle Foundation  
23 Tinker Foundation, Inc., The  
24 Treadwell Foundation, Nora Eccles  
25

26 United Cerebral Palsy  
27 United Scleroderma Research Foundation  
28 U.S. Olympic Committee  
29

30 Webb Foundation, Del E.  
31 Weingart Foundation  
32 Wenner-Gren Foundation for Anthropological Research, Inc.  
33 Whitehall Foundation  
34 Whitney Foundation, the Helen Hay  
35 Wood Charitable Trust, W.P.  
36 Woods Hole Oceanographic Institution  
37

38 Zellerbach Family Fund  
39

40 (d)(2) Nonprofit entities shall be considered for inclusion in the list of exempt  
41 entities based on the following factors:

42 A. The nonprofit organization has been in existence for an extended period of  
43 time.

1           B. The nonprofit organization does not receive major funding, nor is it tied to, a  
2 corporate source.

3           C. The nonprofit organization has a national reputation.

4           D. The nonprofit organization serves, or funds research in, a broad geographic  
5 area.

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7  
8   Note: Authority: Section 83112, Gov. Code

9   Reference: Sections 87300, 87303, and 87306, Gov. Code